

FORM PTO-1390 (Modified) (REV 10-95)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER <b>KOIR 501</b>	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR <b>09/462342</b>	
INTERNATIONAL APPLICATION NO. <b>PCT/JP99/02457</b>		INTERNATIONAL FILING DATE <b>12 May 1999 (12.05.99)</b>		PRIORITY DATE CLAIMED <b>12 May 1998 (12.05.98)</b>	
TITLE OF INVENTION <b>APPARATUS AND METHOD FOR TRANSMITTING INFORMATION, APPARATUS AND METHOD FOR RECEIVING INFORMATION, APPARATUS AND METHOD FOR TRANSMITTING AND RECEIVING INFORMATION, AND RECORDING MEDIUM</b>					
APPLICANT(S) FOR DO/EO/US <b>Obata, Satoshi and Takemura, Shinichi</b>					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li><li>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li><li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).w/Verification of Translation.</li><li>7. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li><li>8. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>9. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li>10. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li><li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li><li>12. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li></ol>					
Items 13 to 18 below concern document(s) or information included:					
<ol style="list-style-type: none"><li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. w/Form 1449 &amp; cited prior references.</li><li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li><li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment. A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li><li>16. <input type="checkbox"/> A substitute specification.</li><li>17. <input type="checkbox"/> A change of power of attorney and/or address letter.</li><li>18. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li><li>19. <input checked="" type="checkbox"/> Other items or information: <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"><p>a.) Twenty-two (22) sheets of formal drawings; b.) A copy of the front page of Published PCT Application No. WO99/59302 published November 18, 1999; c.) Forms PCT/IB/301, 304 and 308.</p></div></li></ol>					

U.S. APPLICATION NO. (IF KNOWN) SEE PAGE		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
09/46234		PCT/JP99/02457		KOIK-P9501	
20. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO ..... \$840.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00 <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$760.00 <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$96.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>	
				\$840.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	21 - 20 =	1	x \$18.00	\$18.00	
Independent claims	12 - 3 =	9	x \$78.00	\$702.00	
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	\$0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1,560.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input type="checkbox"/>	\$0.00	
<b>SUBTOTAL =</b>				\$1,560.00	
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30			+	\$0.00	
<b>TOTAL NATIONAL FEE =</b>				\$1,560.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>	\$0.00	
<b>TOTAL FEES ENCLOSED =</b>				\$1,560.00	
				Amount to be refunded	\$
				charged	\$

- ☒ A check in the amount of **\$1,560.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **12-1420** A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**

**Charles P. Sammut, Esq.  
Limbach & Limbach L.L.P.  
2001 Ferry Building  
San Francisco, CA 94111  
(415) 433-4150**

**SIGNATURE**

## Mayumi Maeda

NAME \_\_\_\_\_

**40,075**

REGISTRATION NUMBER

**January 7, 2000**

DATE \_\_\_\_\_

418 Rec'd PCT/PTO 6 7 JAN 2000

PATENTPATENT COOPERATION TREATY  
UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

In re Nat'l Phase Application of:	)	
	)	
SATOSHI OBATA ET AL.	)	
	)	
Based Upon International	)	CERTIFICATION
Application No. PCT/JP99/02457	)	UNDER
Int'l Filing Date: May 12, 1999	)	<u>37 CFR §1.10</u>
	)	
Serial No. Not Assigned	)	
	)	
Filed: January 7, 2000	)	
	)	
For: APPARATUS AND METHOD FOR	)	
TRANSMITTING INFORMATION,	)	
APPARATUS AND METHOD FOR	)	
RECEIVING INFORMATION,	)	
APPARATUS AND METHOD FOR	)	
TRANSMITTING AND RECEIVING	)	
INFORMATION, AND RECORDING	)	
MEDIUM	)	
	)	

Attn: Designated/Elected Office (DO/EO/US)  
Assistant Commissioner for Patents  
Box PCT  
Washington, D.C. 20231

Dear Sir:

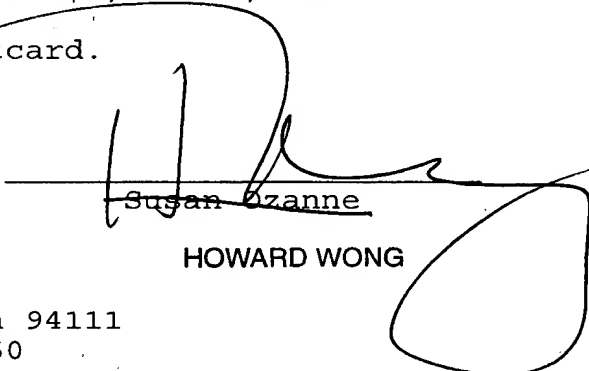
I hereby certify that this Application for entering the national phase of the above-identified International Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, **January 7, 2000**, in an envelope bearing "Express Mail Post Office to Addressee" Mailing Label Number **EL254109412US** addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231-0001, Attention U.S. Designated/Elected Office (DO/EO/US).

Enclosed are:

1. Transmittal Letter to the U.S. Designated/Elected Office, in duplicate;
2. Verified translation of International Application No. PCT/JP99/02457 as filed May 12, 1999, including PCT Request-Form PCT/RO/101, Specification, Claims and Abstract;

3. Combined Declaration/Power of Attorney/Claim of Priority;
4. Twenty-two (22) Sheets of Formal Drawings comprising Figures 1 through 20, inclusive;
5. Assignment Document with Form 1595 Cover Sheet;
6. Copies of Forms PCT/IB/301, 304, and 308;
7. Copy of Front Page of PCT Application. published as No. WO99/59302 on November 18, 1999;
8. International Search Report in English;
9. Information Disclosure Statement with Form 1449, Copy of International Search Report in English translation, and Cited Prior Art References;
10. Check in the amount of \$1,560.00; and
11. Acknowledgement Postcard.

Dated: January 7, 2000

  
~~Susan Ozanne~~

HOWARD WONG

LIMBACH & LIMBACH L.L.P.  
2001 Ferry Building  
San Francisco, California 94111  
Telephone: (415) 433-4150

Attorney Docket No. KOIK-P9501

22/PRTS  
09/462342  
514 Rec'd PCT/PTO 07 JAN 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re International Application of

International Serial No. PCT/JP99/02457  
International filing date: May 12, 1999  
For: Apparatus and Method for Transmitting Information,  
Apparatus and Method for Receiving Information, Apparatus and  
Method for Transmitting and Receiving Information, and  
Recording Medium

VERIFICATION OF TRANSLATION

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Eiichi Tamura, a member of A.KOIKE & CO., of 11-Mori  
Bldg., 6-4, Toranomon 2-chome, Minato-ku, Tokyo 105-0001 Japan,  
declares:

(1) that he knows well both the Japanese and English  
languages;

(2) that he translated the above-identified International  
Application from Japanese to English;

(3) that the attached English translation is a true and  
correct translation of the above-identified International  
application to the best of his knowledge and belief; and

(4) that all statements made of his own knowledge are  
true and that all statements made on information and belief are  
believed to be true, and further that these statements are made  
with the knowledge that willful false statements and the like are  
punishable by fine or imprisonment, or both, under 18USC 1001,  
and that such false statements may jeopardize the validity of the  
application or any patent issuing thereon.

December 13, 1999

Date

Eiichi Tamura

Eiichi Tamura

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07 JAN 2000

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publication which has some relation to the claimed invention," MPEP § 609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the listed references.

[x] The Commissioner is hereby authorized to charge our Deposit Account No. 12-1420 for any fees required in connection with the filing of this Information Disclosure Statement. **A duplicate copy of this Notice is enclosed for this purpose.** In particular, in the event that an Office Action has crossed in the mail with this Information Disclosure Statement, the Commissioner is authorized to charge the above-


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named deposit account for any fees required  
pursuant to CFR §§ 1.17(p) or 1.17(i) (1).

Respectfully submitted,  
LIMBACH & LIMBACH L.L.P.

Dated: 1/7/2000

By:   
Mayumi Maeda  
Reg. No. 40,075  
Tel. No. 415/433-4150

Our File: KOIK-P9501 (S99P0501US00  
Your Ref: SK99PCT26US00)